

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

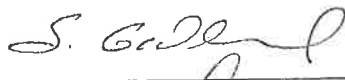
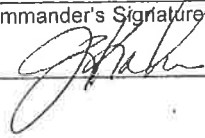
COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

| | | |
|---|----------------------|---------------------|
| Command: Central Division | Division: Central | Number: 401 |
| Evaluated by: Sergeant Scott Goddard | | Date: 06/11/2009 |
| Assisted by: SSA Sandy Padilla | | Date: 06/11/2009 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | | |
|---|---|--|---|--|
| TYPE OF INSPECTION | | Lead Inspector's Signature: | | |
| <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | |  | | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | <input type="checkbox"/> Follow-up Inspection | | Commander's Signature:  |
| Date: 06/11/2009 | | | | |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Tracking numbers are assigned by the OPI |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

| | | | | |
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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements
Contracts

| | | | | |
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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Only if discrepancies are noted. |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

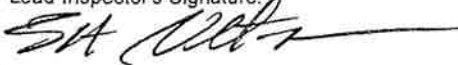
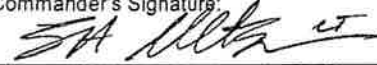
STATE OF CALIFORNIA
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COMMAND INSPECTION PROGRAM **INSPECTION CHECKLIST**

Chapter 3, Command Procurements
Contracts

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|-----------------------------------|----------------------|---------------------|
| Command: Grapevine I. F. | Division: Central | Number: |
| Evaluated by: Lt. S. A. Netzer | | Date: 11/16/2008 |
| Assisted by: N/A | | Date: |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | | |
|---|--|--|------------------------------|----------|
| TYPE OF INSPECTION | | Lead Inspector's Signature: | | |
| <input type="checkbox"/> Division Level | <input checked="" type="checkbox"/> Command Level |  | | |
| <input type="checkbox"/> Executive Office Level | <input type="checkbox"/> Voluntary Self-Inspection | | | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | Commander's Signature: | | Date: |
| <input type="checkbox"/> Follow-up Inspection | |  | | 11/27/08 |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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Chapter 3, Command Procurements
Contracts

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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| | | | | |
|---|---|--|------------------------------|----------|
| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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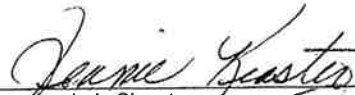

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

| | | |
|--|-------------------------------|----------------------------|
| Command: Sonora | Division: Central Division | Number: 002 |
| Evaluated by: Jeanie Keaster | | Date: 12/19/2008 |
| Assisted by: | | Date: |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | | |
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| TYPE OF INSPECTION | | Lead Inspector's Signature: | | |
| <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | |  | | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | <input type="checkbox"/> Follow-up Inspection | | Commander's Signature:  |
| Date: 12/22/08 | | | | |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: Many of the following contracts are handled by Pete Conejo in the Facilities Section. |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 5. Are all copies of correspondence with the vendor maintained? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

| | | | | |
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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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Contracts

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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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Contracts

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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |


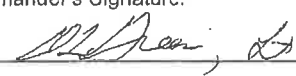
STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
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|--|----------------------|-------------------|
| Command: BUTTONWILLOW (426) | Division: CENTRAL | Number: |
| Evaluated by: MARIA PAGANO, OFFICER | | Date: 11-19-08 |
| Assisted by: LORIE BERGER | | Date: 11-19-08 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | | | |
|---|---|---|------------------------------|--|-------------------|
| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | | Lead Inspector's Signature:  | | | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | <input type="checkbox"/> Follow-up Inspection | | Commander's Signature:  | Date: 11-26-08 |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: | |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: | |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: | |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: | |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: | |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: | |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: | |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: | |

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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: CONDUCTED BY HEADQUARTERS |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: CONDUCTED BY HEADQUARTERS |

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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: INVOICE RECEIVED AT THE TIME THE SERVICES WHERE RENDERED |
| 31. Is a computer file prepared for all contracts administered? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: COMPLETED BY HEADQUARTERS |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |


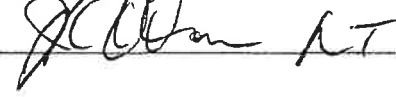
STATE OF CALIFORNIA
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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

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|-----------------------------------|----------------------|---------------------|
| Command: Fort Tejon | Division: Central | Number: 430 |
| Evaluated by: C. Whitty, 12228 | | Date: 11/12/2008 |
| Assisted by: | | Date: |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

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| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | | Lead Inspector's Signature:  | | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | <input type="checkbox"/> Follow-up Inspection | Commander's Signature:  | |
| Date: 11-13-08 | | | | |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Landscape contract is under review for poor service. |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Parking lot repairs and paint repairs were documented. |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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|---|------------------------------|-----------------------------|---|----------|
| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

STATE OF CALIFORNIA
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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST


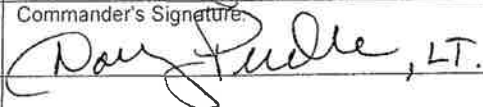
Chapter 3, Command Procurements
Contracts

| | | | | |
|---|---|--|---|----------|
| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements
Contracts

| | | |
|---------------------------------------|-------------------------------|---------------------|
| Command: Hanford Area | Division: Central Division | Number: |
| Evaluated by: Doug Puder, ID 10045 | | Date: 11/24/2008 |
| Assisted by: | | Date: |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | |
|---|--|--|--|
| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | | Lead Inspector's Signature:  | |
| Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | | <input type="checkbox"/> Follow-up Inspection | Commander's Signature:  |
| Date: 11/24/2008 | | | |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | Remarks: No CHP 78 forms could be located. Facilities Section has initiated and renewed soon to expire contracts involving our facility. | |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | Remarks: No CHP 78 forms could be located. | |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | Remarks: No CHP 78 forms could be located. | |
| 4. Is the performance of contract services monitored and documented? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A | Remarks: Contract services have previously been monitored, but have not been documented. | |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A | Remarks: | |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | Remarks: None could be located. | |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | Remarks: No CHP 78 forms could be located. | |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A | Remarks: No CHP 78 or CHP 78A forms could be located. | |

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Unable to determine. |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: A uniform review of contract services has not been routinely performed prior to this inspection. Consequently, I am unable to definitively respond to this question. |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: No CHP 78 forms could be located. |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: No emergency contracts could be located. |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: No documented problems could be located. |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Only one (1) increase found to increase janitor's pay |

STATE OF CALIFORNIA
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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

| | | | | |
|---|---|-----------------------------|---|---|
| 21. Is the length of the contract amendment request more than one year? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Contract was amended to increase the janitor's pay from 7/01/2006 to 6/30/2008. |
| 22. Are amendments requested before the expiration of the original contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Checks were run on the employees of our current janitorial service provider. |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: None of these types of contractors are scheduled to be "on-site" at the Hanford Area office for more than 30 days. |

STATE OF CALIFORNIA
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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements


Contracts

| | | | | |
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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Have not previously forwarded this information to Contract Services Unit (CSU). |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: No one has any recollection of this occurring recently. |
| 29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: HPM 11.1, Chapter 22, Section 16 recommends this practice but does not require it. |
| 31. Is a computer file prepared for all contracts administered? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: HPM 11.1, Chapter 22, Section 16 recommends this practice but does not require it. |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: HPM 11.1, Chapter 22, Section 16 recommends this practice but does not require it. |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

| | | |
|---------------------------------------|-------------------------------|---------------------------|
| Command: Hanford Area | Division: Central Division | Chapter: 3 – Contracts |
| Inspected by: Doug Puder, ID 10045 | | Date: 11/24/2008 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

| | | | |
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| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level | | <input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included | |
| Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | Forward to: CENTRAL DIVISION Due Date: _____ | Commander's Signature:  | Date: 11/24/2008 |
| Chapter Inspection: _____ | | | |
| Inspector's Comments Regarding Innovative Practices: None identified. | | | |

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|--|
| Command Suggestions for Statewide Improvement: |
|--|

The forms provided for this evaluation, as well as the instructions for completing these forms, are not adequate to ensure a uniform review of this subject has been conducted. As currently written, the instructions for completing this form allow for responses which are far too subjective to provide a meaningful evaluation of all commands.

The instructions for each item to be reviewed should be sufficiently expanded so as to make them very specific, comprehensive and easy for the Inspector to understand. The instructions should list exactly which documents or processes need to be examined, they should list specifically what the Inspector should be looking for, and they should provide solid examples of what is appropriate and what isn't appropriate. The instructions should be written in sufficient detail so as to make the inspection forms "stand alone" documents. References to other publications (i.e., SAM manual, Government Code, Department policy, etc.,) may be provided to answer obscure questions that may arise. However, an Inspector should definitely not be required to reference these types of sources on a routine basis in order to complete the inspection forms.

Lastly, Items 30 – 32 ask questions regarding practices which are **recommended** in HPM 11.1, Chapter 22, Section 16. Do the failure to comply with **recommended** practices constitute an exception? This is confusing.

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| Inspector's Findings: |
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See Attachment (Page 4).

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

| | | |
|---------------------------------------|-------------------------------|---------------------------|
| Command: Hanford Area | Division: Central Division | Chapter: 3 – Contracts |
| Inspected by: Doug Puder, ID 10045 | | Date: 11/24/2008 |

Page 2

Commander's Response:

Concur with Inspector's findings.

Inspector's Comments:

N/A

Required Action

Corrective Action Plan/Timeline

Sergeant Frank Smith, ID 10376, will be responsible for organizing all of our files related to contracts. Each contract will have its' own individual file. Each of these files will include a copy of the current contract, all invoices associated with that particular contract, a log upon which all contacts with the contractor can be documented, copies of all correspondence with the contractor, and copies of CHP 78S forms for each employee who manages any aspect of that particular contract.

Having all contract files organized in the aforementioned manner will allow for a relatively quick review of the terms of each contract. This will allow our contract manager to verify all contracted services are being provided in the proper manner. The organization of all contract files within the Hanford Area will be accomplished by February 1, 2009. This will be verified by a review of all contract files by the Area Commander.

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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|---------------------------------------|-------------------------------|---------------------------|
| Command: Hanford Area | Division: Central Division | Chapter: 3 – Contracts |
| Inspected by: Doug Puder, ID 10045 | | Date: 11/24/2008 |

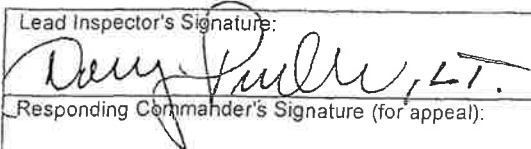
Page 3

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

| | |
|---|---------------------|
| Lead Inspector's Signature:  | Date: 11/24/2008 |
| Responding Commander's Signature (for appeal): | Date: |

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 4

Inspector's Findings:

Hanford Area's contract files were not organized in a manner conducive to performing a quick and systematic review of each contract. The following general discrepancies were noted during this inspection:

- Copies of all contracts were kept in a single file by Sergeant Smith. This file contained copies of a number of expired contracts. Additionally, the file did not contain copies of all current contracts.
- Copies of invoices associated with the aforementioned contracts were filed in a separate location by Ms. Cynthia Gonzales, ID A05589, Hanford Area's Office Manager.

Note: The arrangement described above made it virtually impossible for any individual to accurately monitor the quality and quantity of services being provided in accordance with the terms of any individual contract.

The aforementioned discrepancies were broken down more specifically as follows:

- Failure to separate each contract into its' own file.
- Failure to file invoices with the appropriate contract.
- Failure to include a form in each contract file upon which to document contacts with the contractor.
- There was no centralized listing of all contracts which would allow anyone to quickly reference the contract information and verify the beginning and expiration dates of each contract.
- There was no way to determine if problems with any particular contract were documented. Additionally, any steps taken by the Hanford Area to correct problems with the contractor were not documented.
- Failure to include a completed CHP 78S form in each individual contract file.

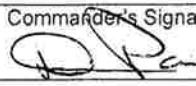
STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM**INSPECTION CHECKLIST**

Chapter 3, Command Procurements
Contracts

| | | |
|---|----------------------|----------------------------|
| Command: Madera | Division: Central | Number: 450 |
| Evaluated by: Lieutenant D. Paris | | Date: 12/22/2008 |
| Assisted by: | | Date: |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | |
|---|---|--|---|
| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | | Lead Inspector's Signature: | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | <input type="checkbox"/> Follow-up Inspection | Commander's Signature:  | Date: 12/22/08 |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A Remarks: |

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

| | | | | |
|--|---|-----------------------------|---|--------------|
| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: OPI |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

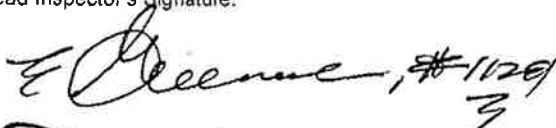

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| Command: Mariposa | Division: Central | Number: 455-08-002 |
| Evaluated by: Sgt. Edward Greene, #11281 | | Date: 12/24/2008 |
| Assisted by: OSS-1 Carrie Smith, #A5258 | | Date: 12/24/2008 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | | |
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| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | | Lead Inspector's Signature:  | | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | <input type="checkbox"/> Follow-up Inspection | Commander's Signature:  | |
| Date: 12-29-08 | | | | |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

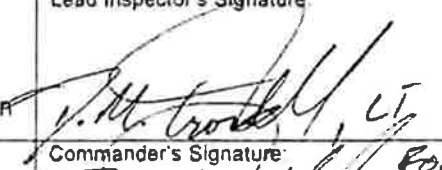
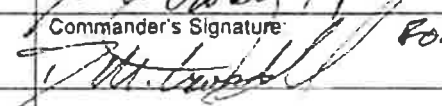
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| Command: Merced (460) | Division: Central (401) | Number: |
| Evaluated by: G. Lamerson | | Date: 12/17/2008 |
| Assisted by: Rafaela Gonzales, OSS I | | Date: 12/17/2008 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

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| TYPE OF INSPECTION | | Lead Inspector's Signature: | | |
| <input type="checkbox"/> Division Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Voluntary Self-Inspection | |  | | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | <input type="checkbox"/> Follow-up Inspection | | Commander's Signature:  For Date: 12/18/08 |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Only when a new contract is needed. |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: All of our contracts are existing and a CHP 78 was used on initial request |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: E. file and placed in folder |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Only when a new contract is needed |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Facilities Section |

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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Assuming this is run up through the chain of command once Facilities Section finishes coordinating the contract |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Assumed CSU did this. Is there a need to start using a contract, Delegation Spreadsheet? |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Via Central Division for approval. |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Will be doing them for X numbers and procurement of goods. |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: E-File, only one so far. Aramark, problems resolved |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: No amendments made at command level. |

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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: No amendments made at command level |
| 22. Are amendments requested before the expiration of the original contract? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: No amendments made at command level |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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Chapter 3, Command Procurements Contracts

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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: If a problem was discovered, CSU would be contacted. |
| 29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Via contracts and Facilities Section |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: When needed |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Comparative costs analysis CHP 315 |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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| | | |
|--|-----------------------------|----------------------------|
| Command: Merced | Division: Central | Chapter: 3 |
| Inspected by: Sgt. G. Lamerson | | Date: 12/17/2008 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

| | | | |
|--|---|--|---|
| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level | | Total hours expended on the inspection: Six hours | <input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | Forward to: Due Date: 12/18/2008 | | |

Chapter Inspection: Command Procurements, X-numbers, Contracts, and Purchases

Inspector's Comments Regarding Innovative Practices:
Inspection completed by Sgt. Lamerson indicated no follow-up needed.

Command Suggestions for Statewide Improvement:
Ensure all personnel receive training for all new applicable procedures concerning Command Procurements.

Inspector's Findings:

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

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| Command: Merced | Division: Central | Chapter 3 |
| Inspected by: Sgt. G. Lamerson | | Date: 12/17/2008 |

Required Action

Corrective Action Plan/Timeline

N/A

| | | |
|---|---|----------------|
| <input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures) | COMMANDER'S SIGNATURE <i>J. M. Trumbull, LT</i> FOR CAPT. S.A. BARILLA | DATE 6/9/09 |
| | INSPECTOR'S SIGNATURE <i>J. M. Trumbull, LT</i> FOR SGT. LAMERSON | DATE 6/9/09 |
| <input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur | REVIEWER'S SIGNATURE | DATE 6/9/09 |

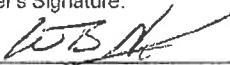
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| Command: Los Banos | Division: Central | Number: |
| Evaluated by: Sergeant Kevin Smith ID 11873 | | Date: 4/22/2009 |
| Assisted by: Officer Tom Melden ID 11735 | | Date: 4/22/2009 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | | |
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| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | | Lead Inspector's Signature: | | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | <input type="checkbox"/> Follow-up Inspection | Commander's Signature:  | | Date: 4/28/09 |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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| Command: Chowchilla River I.F. | Division: Central | Number: 464 |
| Evaluated by: Sergeant P.E. Speers # 9724 | | Date: 12/30/2008 |
| Assisted by: | | Date: |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | |
|---|---|---|---|
| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | | Lead Inspector's Signature: | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | <input type="checkbox"/> Follow-up Inspection Commander's Signature: <i>ACTING P.E. Speers</i> <i>P.R. Wignone</i> | Date: 12/30/2008 |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A Remarks: |

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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |



STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

| | | |
|---|----------------------------|-------------------|
| Command: Modesto (465) | Division: Central (401) | Number: |
| Evaluated by: Captain L. Duncan, 13406 | | Date: 12.15.08 |
| Assisted by: OSS1 H. Koelmans, A6008 | | Date: 12.15.08 |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | | |
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| TYPE OF INSPECTION | | Lead Inspector's Signature: | | |
| <input type="checkbox"/> Division Level | <input checked="" type="checkbox"/> Command Level |  12.16.08 | | |
| <input type="checkbox"/> Executive Office Level | <input type="checkbox"/> Voluntary Self-Inspection | | | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | Commander's Signature: | Date: | |
| | |  | 12.16.08 | |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Tracking numbers are assigned by the OPI and this numbering convention is not followed. |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

| | | | | |
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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

STATE OF CALIFORNIA

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM**INSPECTION CHECKLIST**

Chapter 3, Command Procurements

Contracts

| | | | | |
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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Janitorial services. |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: Only if there is a discrepancy. |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

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| Command: | Division: | Number: |
| Evaluated by: | | Date: |
| Assisted by: | | Date: |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | |
|---|---|---|---|
| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | | Lead Inspector's Signature: Leah Shires, Clerical Supervisor | |
| Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | <input type="checkbox"/> Follow-up Inspection | Commander's Signature: Lieutenant James Swearingen, #12068 |
| | | Date: 04/22/2009 | |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A Remarks: |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A Remarks: |

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

| | | | | |
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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 13. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

| | | | | |
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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

| | | | | |
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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

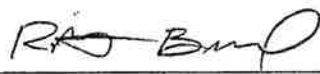
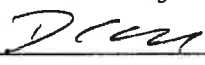
STATE OF CALIFORNIA
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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

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| Command: Coalinga Area | Division: Central Division | Number: 495 |
| Evaluated by: Robert Brunell, ID 14612 | | Date: 12/10/2008 |
| Assisted by: | | Date: |

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

| | | | | |
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| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection | | Lead Inspector's Signature:  | | |
| Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | | <input type="checkbox"/> Follow-up Inspection | | Commander's Signature:  Date: 12/22/08 |
| For applicable policy, refer to: HPM 11.1, Chapter 22 | | | | |
| 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 4. Is the performance of contract services monitored and documented? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 5. Are all copies of correspondence with the vendor maintained? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

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| 9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 10. Is all work completed and accepted by the Department before expiration of contract agreement? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: HVAC vendor, Johnson Controls, billing inconsistent with contract. |
| 13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 16. Are all applicable form sections of the CHP 78 completed? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 20. Are contract amendment request dollar amounts increased more than 30%? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |

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| 21. Is the length of the contract amendment request more than one year? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 22. Are amendments requested before the expiration of the original contract? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: None of the named personnel are scheduled to be on site for 30 days or more. |

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| 27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 30. Is a log sheet maintained for a diary of activities related to the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 31. Is a computer file prepared for all contracts administered? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 32. Is a spreadsheet prepared listing all expenditures? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 33. Is the notification to the contractor documented for the start date for services to begin? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09) | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |
| 38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05) | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A | Remarks: |
| 39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09) | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | <input type="checkbox"/> N/A | Remarks: |

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|--|-----------------------------|----------------------------------|
| Command: Coalinga Area | Division: Central | Chapter: 3 - Contracts |
| Inspected by: R. Brunell, Sergeant, ID 14612 | | Date: 12/10/08 |

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

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|--|---|--|-------|
| TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level | | <input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included | |
| Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | Forward to: _____ Due Date: _____ | Commander's Signature: | Date: |
| Chapter Inspection: _____ | | | |
| Inspector's Comments Regarding Innovative Practices: | | | |

None Identified.

Command Suggestions for Statewide Improvement:

- The functions examined in these inspections are centralized and coordinated state wide by headquarters. The various roles and responsibilities involved in the procurement process are split between Area's and headquarters units. At times, there seems to be a lack of knowledge and understanding on how these processes actually work. For example, HPM 11.1 outlines policy governing service contracts. The applicable chapter of this manual covers contracts initiated by Area personnel, but there is little to no information concerning contracts which originate through the actions of headquarters personnel. In fact, the majority of service contracts currently in place at the Coalinga Area were initiated by Facilities Section personnel. In this example, it would be helpful for Area level users if policy was expanded to incorporate all types of service contracts, including statewide contracts.

Inspector's Findings:

Coalinga Area's service contract files were reviewed and the following items and/or discrepancies were noted:

- Executed contract documents were not on file for the Area's photocopier and for shop clothing.
- There was no centralized computer file for all contracts administered. This practice is recommended by policy.

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Inspector's Findings (continued):

- There was no spreadsheet prepared listing ALL expenditures. This practice is recommended by policy.
- When the current HVAC vendor, Johnson Controls Inc. bills for service other than quarterly maintenance, they use an incorrect labor rate of \$93.50. The STD. 215, Agreement Summary, calls for labor to be billed at a rate of \$92.00. Similarly, they bill for mileage for non-quarterly service. There is no allowance for mileage in the Agreement Summary (refer to Exhibit B, 4. Rate Schedule).
- HVAC invoice number 0811131210 was not listed on the activity log of expenditures.
- There was only one CHP 78, Contract Request, on file at the Area. This CHP 78 was recently initiated for range services and is currently being processed by Contract Services Unit (CSU). Otherwise, Area has not prepared any CHP 78's because all other Area specific contracts were initiated by personnel outside of the Coalinga Area, primarily Pete Cornejo, CHP Facility Analyst. The CHP 78's prepared outside of Area are sent to CSU for processing. Executed contracts are sent to Area without the CHP 78 attached.
- A folder labeled "General" was located which contained miscellaneous approved invoices for CAL-Card purchases or direct payments.
- Numerous non-contract files and folders were located within the service contracts files. These folders contained records for other types of procurements such as CAL-Card, Purchases, and direct billing.

Commander's Response:

Concur with Inspector's findings.

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Inspector's Comments:

None.

Required Action

Corrective Action Plan/Timeline

Sergeant Larkin Vander Mel will be responsible for organizing all Area files related to contracts. A centralized listing of all contracts will be created to enable quick reference to contract information including effective dates and remaining balances. Each contract file will contain a copy of the current contract, invoices, a log of expenditures, and documentation related to contract performance and correspondence with the vendor. This will be accomplished by March 1, 2009.

Sergeant Larkin Vander Mel address the billing issues with Johnson Controls Inc. This will be accomplished by December 19, 2008.

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|---|----------------------|---------------------------|
| Command: Coalinga Area | Division: Central | Chapter: 3 - Contracts |
| Inspected by: R. Brunell, Sergeant, ID 14612 | | Date: 12/01/08 |

~~Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).~~

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:



Date:

12/10/08

Responding Commander's Signature (for appeal):

Date: